Agency Administrator User Guide

Federal Docket Management System

2016

Developed for:

eRulemaking Program Management Office
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Table of Contents

List of Figures

Revision Log

Date	Version No.	Description	Author	Reviewer	Review Date
03/28/16	1.0	Initial Admin Module Release	Grace Reddish	Crystal Vitagliano	04/21/16
06/20/16	1.0.1	4.12 Release Update	Grace Reddish	Crystal Vitagliano	06/21/16
07/06/16	1.1	Admin Module 1.1 Release	Grace Reddish	Crystal Vitagliano	07/27/16
11/04/16	1.2	Admin Module 1.2 Release	Grace Reddish	Crystal Vitagliano	11/16/16

Introduction

This Federal Docket Management System (FDMS) User Guide describes the new FDMS Admin Module and provides instruction on how to execute and manage Agency Administrator (Admin) responsibilities.

The Admin is responsible for establishing and maintaining agency unique attributes for use within FDMS as well as high level Document administration tasks. These features include:

- User Administration and Agency Assignments
  - Adding and removing users for the agency
  - Establishing and changing roles for users
  - Creating default Docket and Document Assignment Templates for the agency
- Group Administration
  - Establishing groups
  - Adding users to groups
  - Deleting users from groups
- Agency and Sub-agency Administration Process
  - Establishing the agency settings
  - Adding, disabling, editing, or removing Docket and Document labels
  - Determining screen settings for Docket, Document, and Comment elements within FDMS
  - Enabling and disabling Document Subtypes from the master list
- FDMS 4 Document Administration
  - Generating a 'Bulk Extract' of documents from selected dockets
  - Running advanced text analytics tools Deduplication and Auto Categorization
  - Ability to transfer documents between agencies

FDMS **Best Practices** have been implemented to improve how agencies use FDMS while increasing the public's access to regulatory information, as well as encouraging public participation through the Regulations.gov website. Best Practices goals include:

- Increase access to the full lifecycle of federal regulatory content.
- Build a common taxonomy and establish protocols for managing Dockets and regulatory Documents.
- Compile comprehensive electronic Dockets and increase agency efficiency.
- Use one Docket to manage a regulatory action.

Notes

Logging in to FDMS

Access FDMS by launching your internet browser and entering www.fdms.gov in the address bar.

Figure 1: Logging in to FDMS

Logging in to FDMS

1. Access FDMS by launching your internet browser and entering www.fdms.gov in the address bar.
2. On the FDMS login page type your username in the **Username** field.
3. Type your password in the **Password** field.
4. Click the **Login** button.

*Note: The **click here for help** link can be used to reset your password.*

Note: Admins can contact other Admins from their agency if they have forgotten their Username or are locked out of FDMS. Agencies with only one Admin can contact the Help Desk for help with these issues.

Note: After five invalid login attempts users will be locked out of the system for 30 minutes and will be unable to utilize the "forgot password" function.

Notes

FDMS Functionality

Please refer to the Docket Manager user guide for more information on these FDMS Agency Administrator specific functions:

- Bulk Extract
- Running Deduplication
- Running Auto Categorization
- Transferring Documents Between Agencies
- Work Queue

Navigating to the Admin Module

Users can access the Admin Module by logging in to **FDMS** or by typing www.fdms.gov/admin into the address bar of their browser.

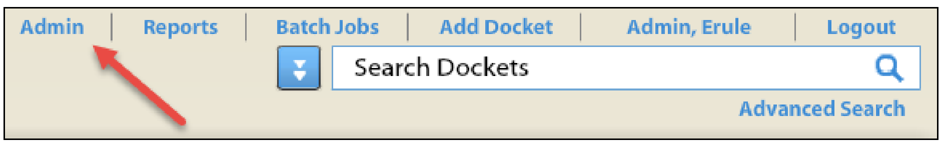


Figure 2: Link to the Admin Module in the Top Tool Bar in FDMS

Navigating to the Admin Module from FDMS

1. The Homepage is displayed when a user logs in to FDMS.
2. Click the **Admin** link located in the top tool bar.

Note: The Admin Module will open in a new window and prompt users to re-enter their login information. This will be the same login information used in FDMS.

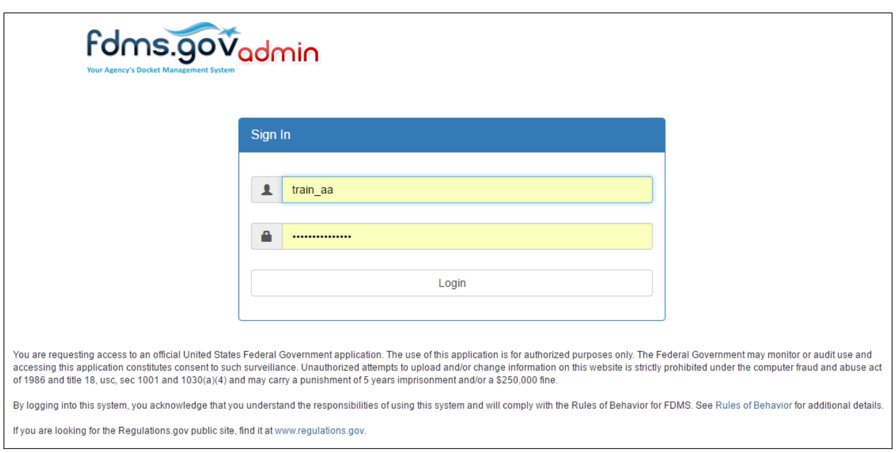


Figure 3: FDMS Admin Module Login Screen

Notes

Agency Admin Module

The Agency Admin Module consists of user administration functions and agency specific configuration management. The screen is split into two sections. Options selected from the menu section on the left are displayed in the contents view on the right. The functions currently available are Access Requests, Lockouts, Users, Groups, Reports, and Agency Configuration. As the migration continues, more Admin functionality will be added to the menu options.

Access Requests

The **Access Requests** section displays the list of those individuals who have requested access to FDMS via the self-registration option on the login page. In the Access Requests list Admins will see the name of the **Requestor**, their **Email**, **Telephone** number, **Role** requested, and the **Date** the request was made.

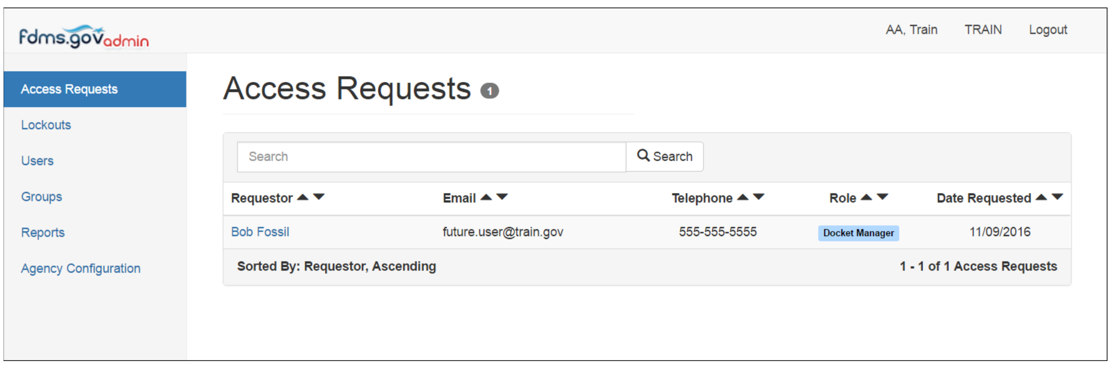


Figure 4: Access Requests Screen

Processing Access Requests

1. From the **Access Requests** screen, click the name of the **Requestor** to view the access request details.

   Note: Admins will receive an email when an Access Request is submitted.

2. Review the User Information, Supervisory Point of Contact Information, and Access Level, and update as necessary.
3. Click the **Approve** or **Deny** button to respond accordingly to the request.

   Note: Clicking the Approve or Deny button is a final action and cannot be reversed.

   Note: Users will receive an email informing them that their request has either been Approved or Denied. If approved, the email will provide the user with a link to complete registration by setting a password and secret questions/answers.

Notes

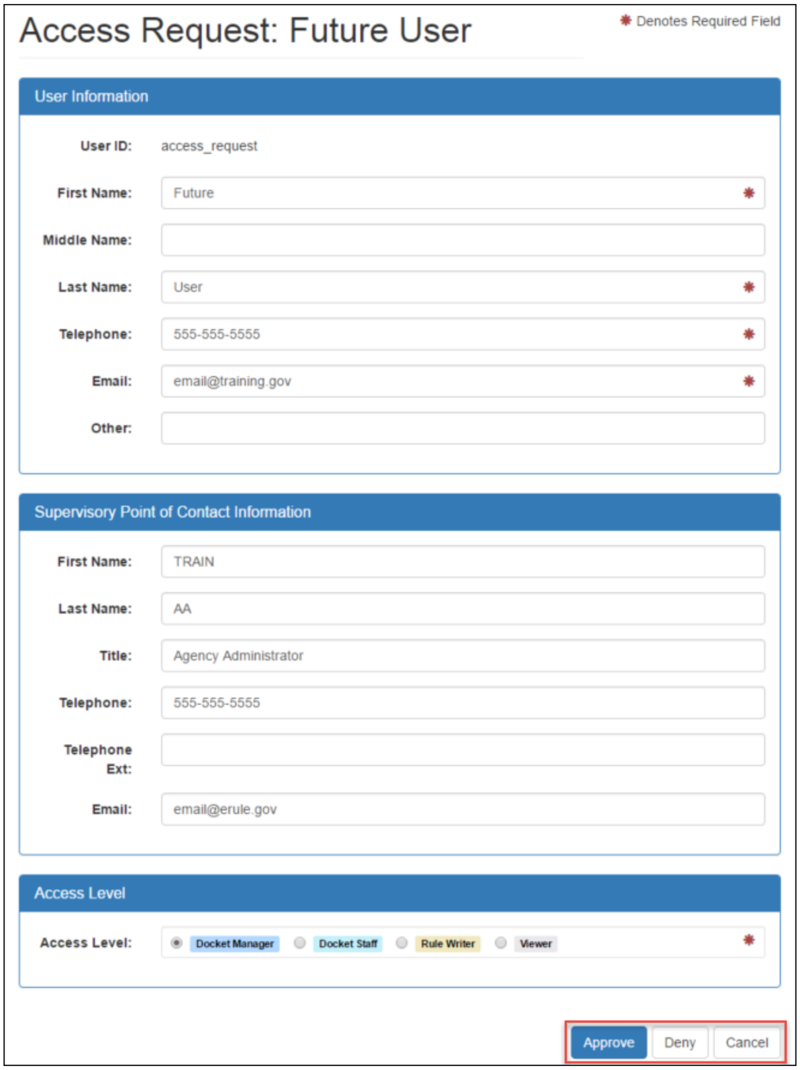


Figure 5: Individual Access Request

Notes

Lockouts

Admins can utilize the **Lockouts** section to reset user accounts that have been locked due to inactivity or password expiration. This section will list the names of all users who have been locked out as well as their corresponding User ID, Role, Account Status, Last Login date, and the date that the password was last changed.

The status column indicates which of these three scenarios resulted in the account being locked:

- **Locked (Non-Use):** Accounts are locked after 30 days of non-use. Resetting unlocks the account so the user can login again.
- **Locked (Invalid Logins):** Accounts are temporarily locked for 30 minutes after 5 invalid login attempts. Resetting sends the user an email with one-time login credentials.
- **PW Expired:** Passwords expire if a user does not change it within 60 days. Resetting sends the user an email with one-time login credentials.

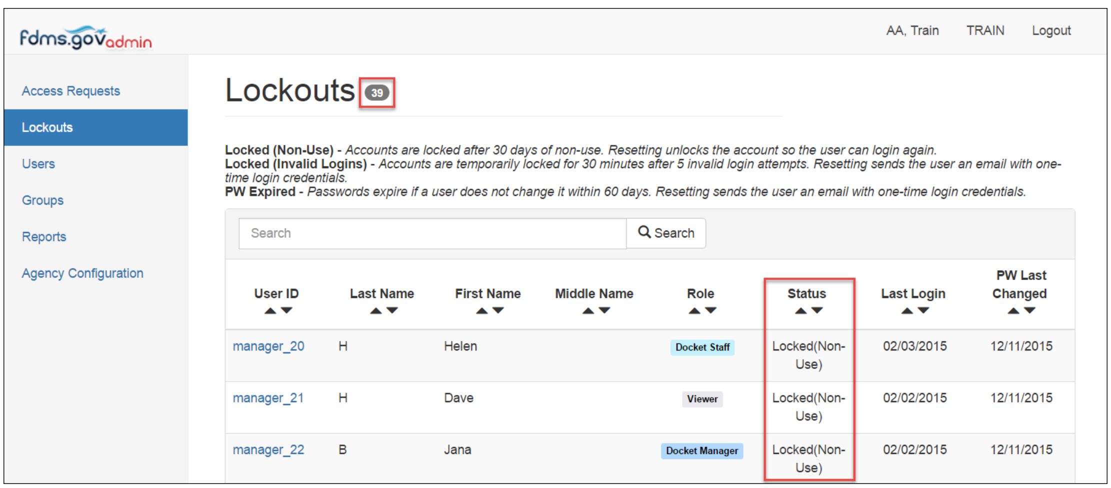


Figure 6: Lockouts Screen

Unlocking a User Account

1. From the **Lockouts** screen, click the **User ID** of the account to be unlocked.
2. Review the account information and use the **Edit User** button to update as necessary.
3. Click the **Reset** button. In the resulting confirmation pop-up window, click **Ok** to confirm the action.

Note: If the account was locked due to inactivity, the user will receive an email that their account has been reset and they will be able to login immediately.

Notes

Unlocking a User Account

Note: If the account was locked due to an expired password, the user will receive an email informing them that their account has been reset along with a link to reset their password.

Note: Admins can contact other Admins from their agency for lockout or password issues. Agencies with only one Admin can contact the Help Desk for help with these issues.

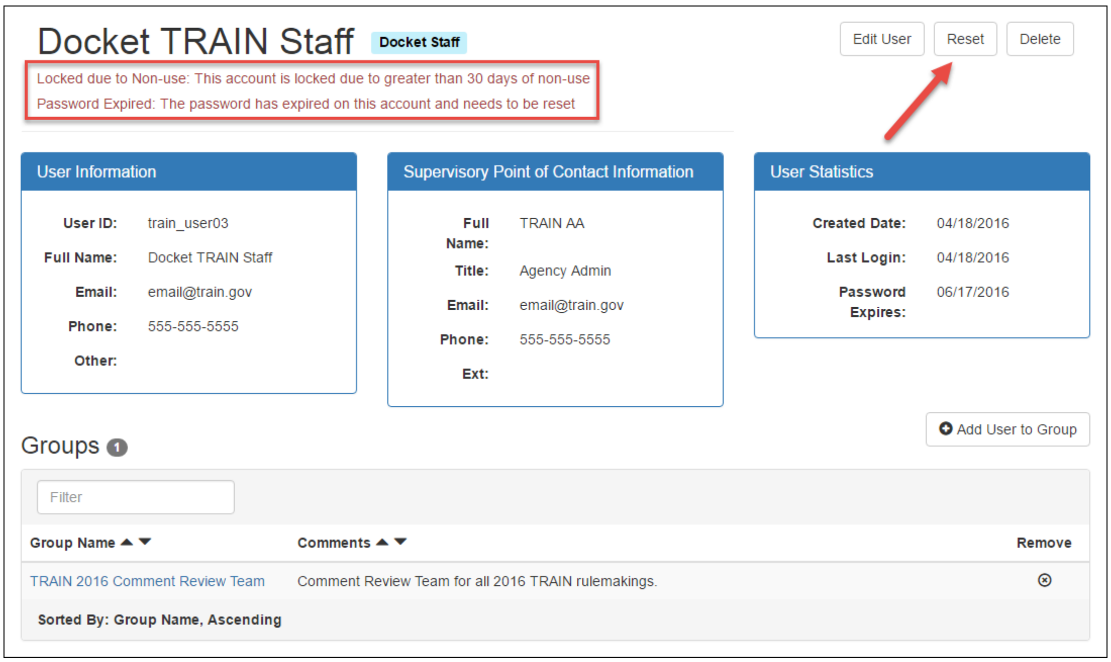


Figure 7: Locked User Account

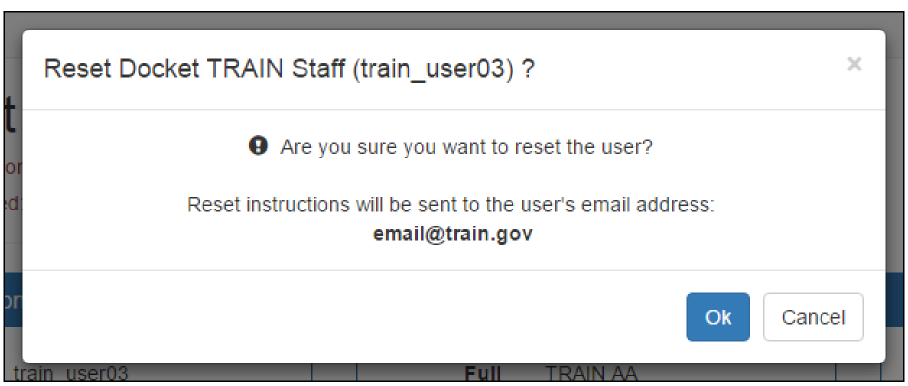


Figure 8: Account Reset Confirmation Pop-up Window

Notes

Users

The **Users** section enables Admins to add users, establish FDMS roles, edit user information, add users to groups, and remove users from FDMS. Agencies managing sub-agencies have the ability to grant sub-agency users access on the primary agency account.

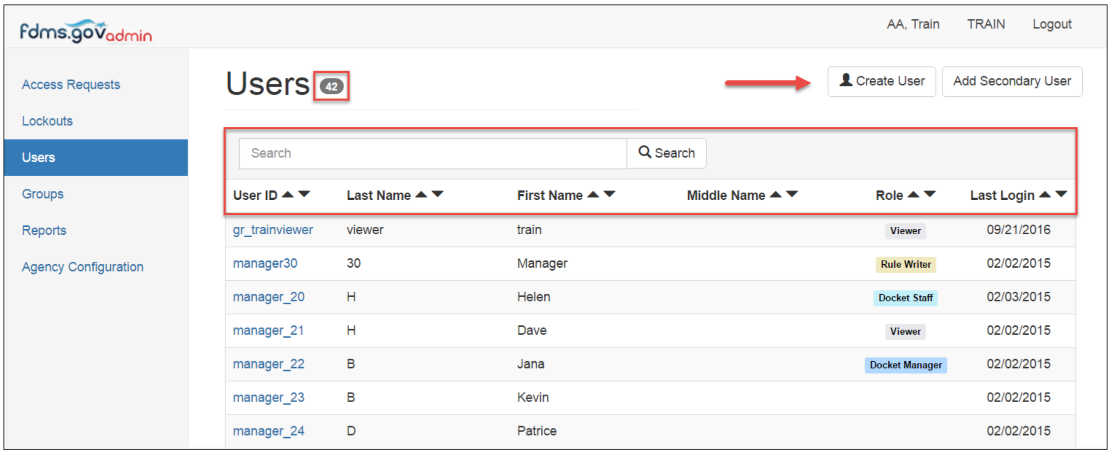


Figure 9: Agency Users Screen

A total count of agency FDMS users is listed next to the **Users** header. Up to 100 users will be displayed at a time on the Agency Users Screen with a paging feature activated for agencies with more than 100 FDMS users.

To find a specific user more quickly, Admins may search by full or partial name or User ID by entering information into the search bar and clicking the search button. Alternatively, Admins can use the column headers to sort the information in that column alphabetically or numerically.

Creating Users

Admins have the ability to create new user accounts from the Admin Module. Once the Admin has filled out the required attributes (including User ID and Access Level), the new user will receive an email with a link to set a password and finalize account creation.

Creating Users

1. To create a new user, click the **Create User** button from the main Agency Users screen.

Notes

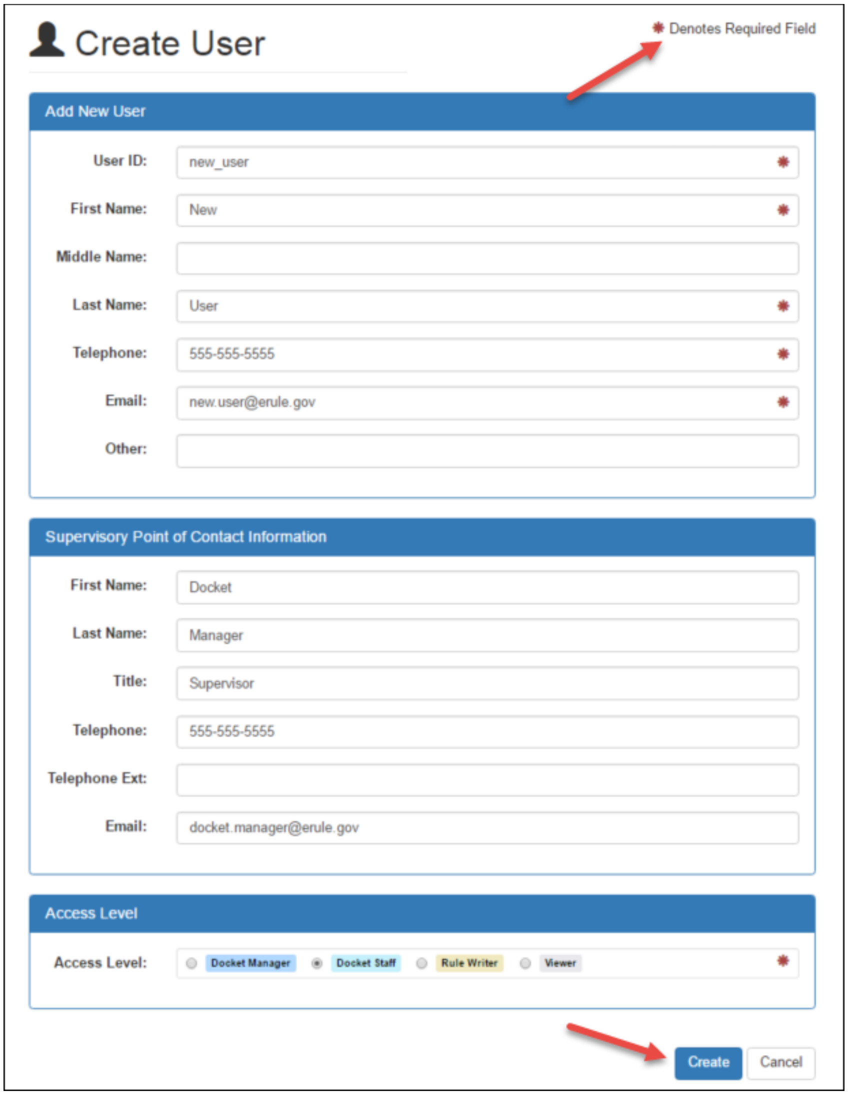


Figure 10: Create User screen

Creating Users

2. Update the required fields denoted by a red asterisk and any additional applicable fields including Supervisory Point of Contact Information.
3. Select the user Access Level (see below for details), and click **Create**.

   Note: Agency Administrator accounts can only be created or deleted, with Project Management Office (PMO) approval, through the Help Desk.

   Note: Please contact the FDMS Help Desk to create a Records Manager account or to upgrade/change an existing FDMS user to Records Manager role.

Notes

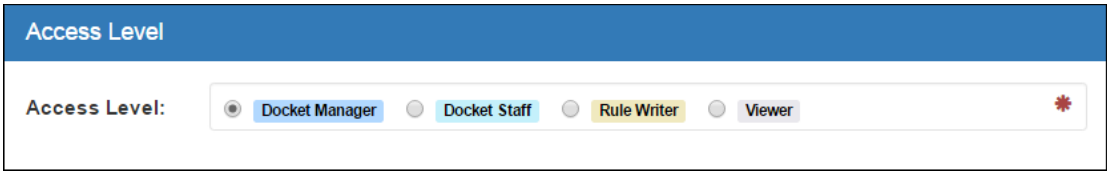


Figure 11: Access Level Selection

FDMS Access Levels

- **Records Managers** can:
  - Declare and un-declare Records
  - Add and remove Markups
  - Set and remove Retention
  - Delegate
- **Docket Managers** can:
  - Create and manage assignments
  - Post Documents to the public
- **Rule Writers/Docket Staff** can:
  - Make limited changes to Dockets
  - Create and manage Documents
- **Viewers** can:
  - View all agency information (posted and unposted) in a read only capacity

Managing a User

Admins are able to manage many aspects of individual user accounts, including **User Information**, **Supervisory Point of Contact Information**, and the **Groups** a user belongs to. The User Details screen will also give Admins quick User Statistics on when the account was **Created**, the **Last Login** date, and the date that the user's current **Password Expires**.

Notes

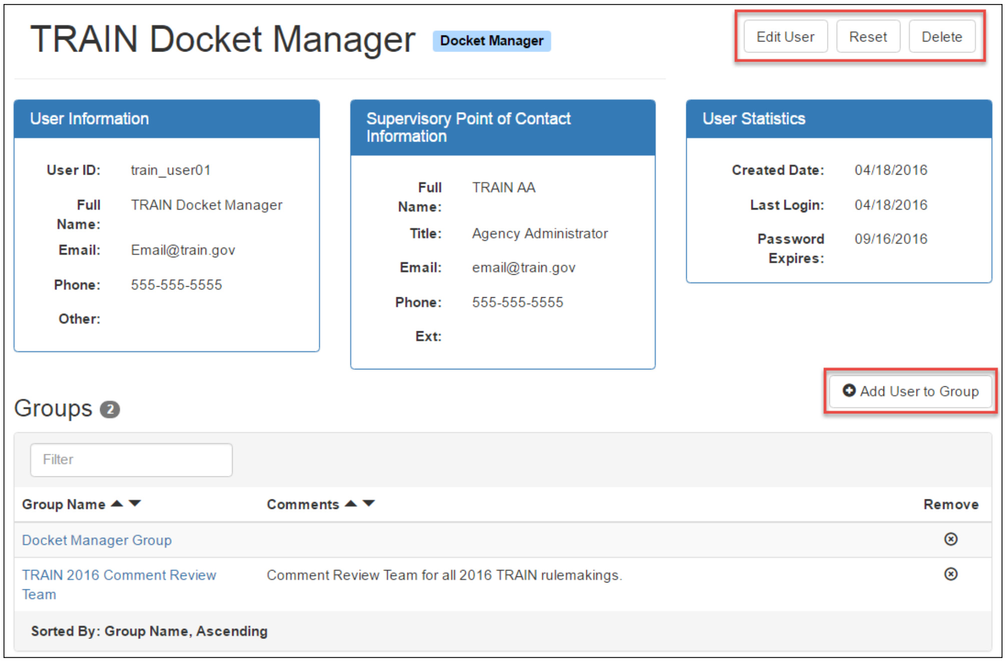


Figure 12: User Details Screen

Managing a User

1. To update the information of a current user, click the **User ID** from the Agency **Users** screen (see **Figure 9**), then click the **Edit User** button.
2. Update the applicable fields and click **Save**. The page will refresh back to the User Details screen and display a message that the updates were completed successfully.
3. To reset the account of a user who has been locked out of the system click the **Reset** button.
4. To delete a user from the system click the **Delete** button from the User Details screen.
5. Click the **Add User to Group** button to add an individual to groups. Admins can select from a full list of agency Groups or search for a group by name.
6. To **Remove** a user from a group, click the ⊗ icon from the remove column.

Note: If the user being deleted has any current Docket or Document Assignments, a replacement Assignee will need to be selected before the user can be deleted.

Note: Users can be added to or deleted from groups both from their individual User Details screen and from the Group Details screen.

Notes

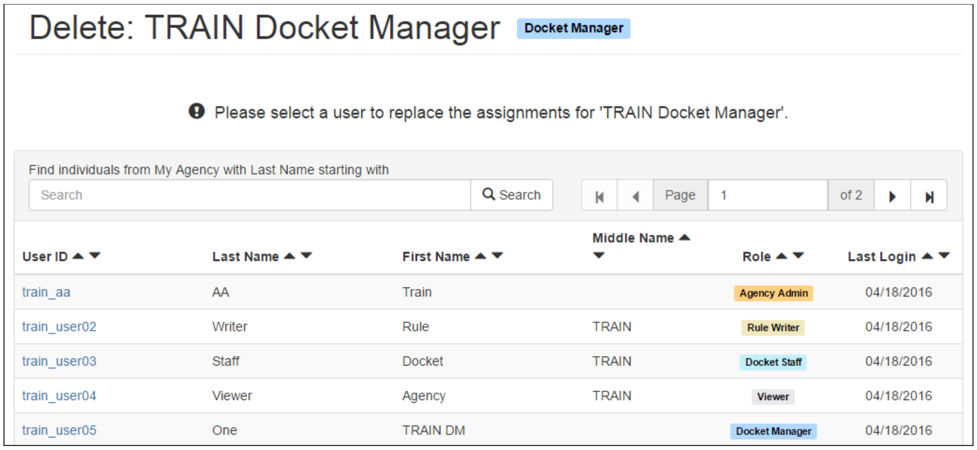


Figure 13: Assignments Replacement Screen

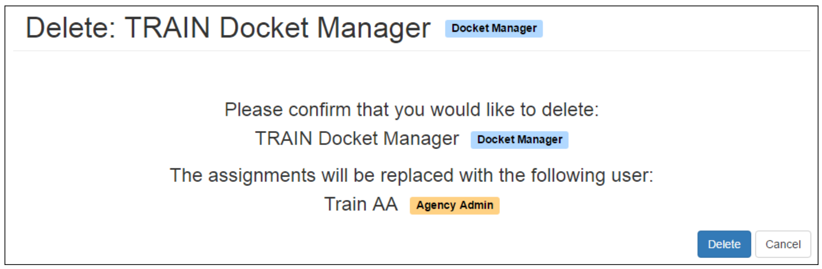


Figure 14: Assignments Replacement Confirmation Screen

Adding a Secondary User

Agencies that manage sub-agencies are able to grant users from the sub-agency access to the primary agency account with the option to assign a different user role.

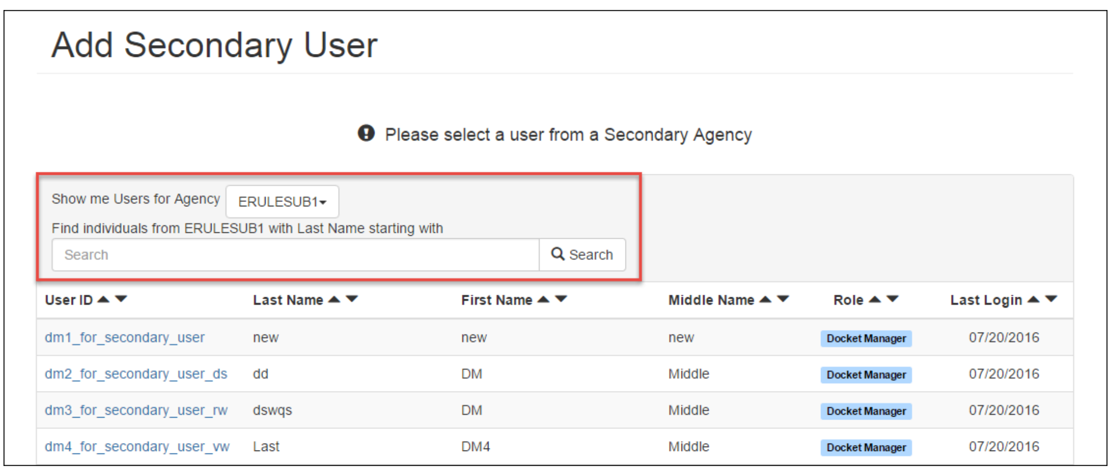


Figure 15: Add Secondary User Screen

Adding a Secondary User

1. To add a secondary user, click **Add Secondary User** from the Agency **Users** screen (see **Figure 9**).
2. Select the desired sub-agency from the dropdown menu.

Notes

Adding a Secondary User

3. Find the desired user by using the search feature or sorting by the column headers and click on their **User ID**.
4. On the resulting screen select the desired access level and click the **Add Secondary User** button.

   Note: The user's access level in the primary agency can differ from their access level in the sub-agency.

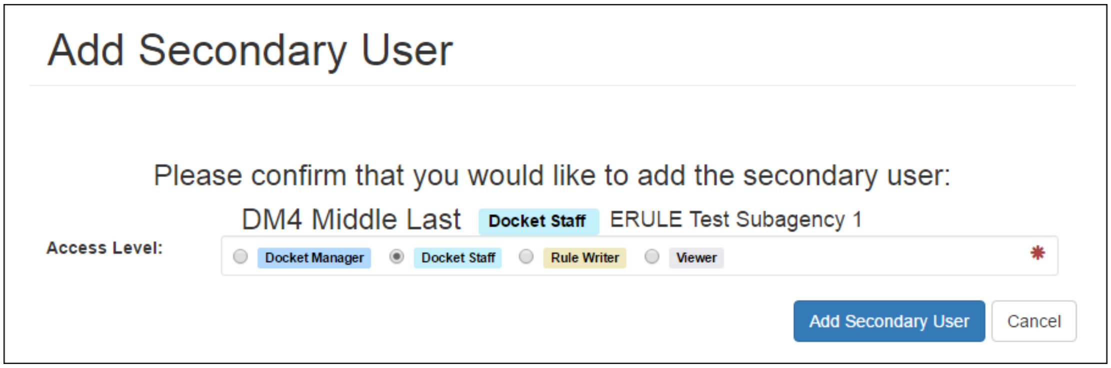


Figure 16: Add Secondary User Confirmation Screen

Notes

Groups

Admins are able to create Groups and add users to them. Groups are beneficial in granting permissions and making assignments for Dockets and Documents within FDMS. For example, designating a group as the Assigned Docket Manager will allow all users in the group to access the Docket from their Inbox.

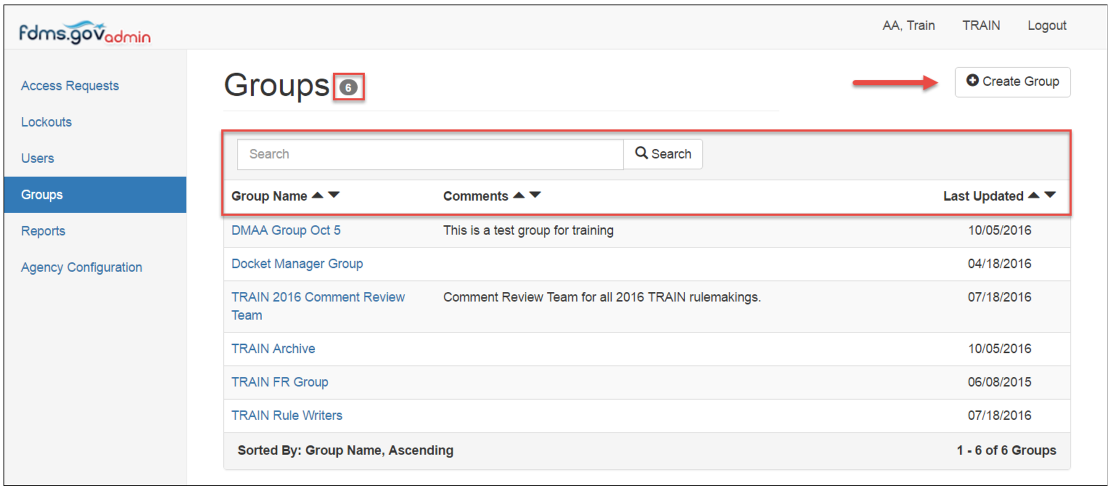


Figure 17: Groups Screen

A total count of agency FDMS groups is listed next to the **Groups** header. Up to 100 groups will be displayed at a time on the Groups Screen with a paging feature activated for agencies with more than 100 FDMS groups.

To find a specific group more quickly, Admins may search by full or partial group name by entering information into the search bar and clicking the search button. Alternatively Admins can click on column headers to sort the information in that column alphabetically or numerically.

The FR Group is a system default group and cannot be deleted. Only users in the FR Group will have access to the FR Feed. Please see the Docket Manager User Guide for further information on the FR Feed.

Notes

Creating Groups

Creating groups is a quick and easy process that requires naming the group and adding any comments clarifying its purpose.

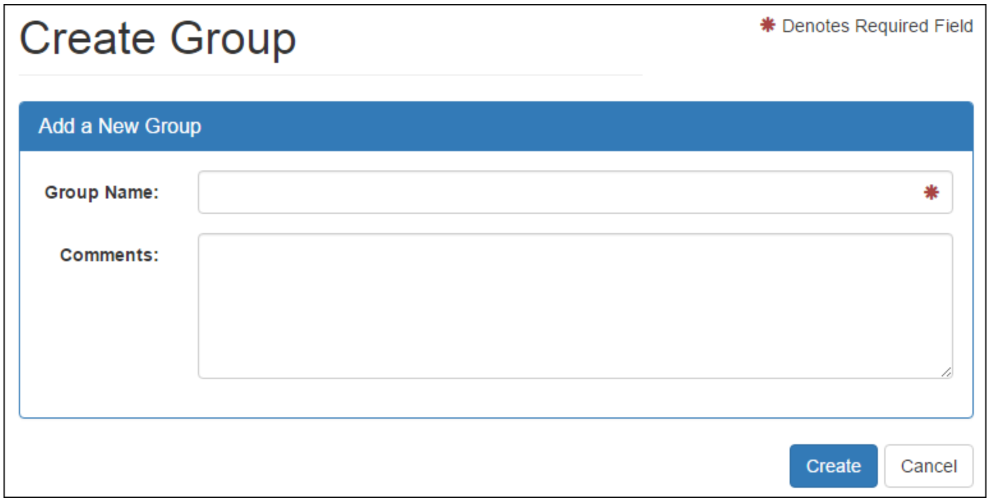


Figure 18: Creating a Group

Creating a Group

1. To create a new group from the Groups screen, click the **Create Group** button.
2. Enter the Group Name and any applicable comments (not required) and click **Create**.

Notes

Managing Groups

To manage a group, Admins have the ability to update the **Group Name** and any **Comments**, to view various **Group Statistics**, to view a list of all users currently in the group, and to **Add** users to or **Remove** users from the group.

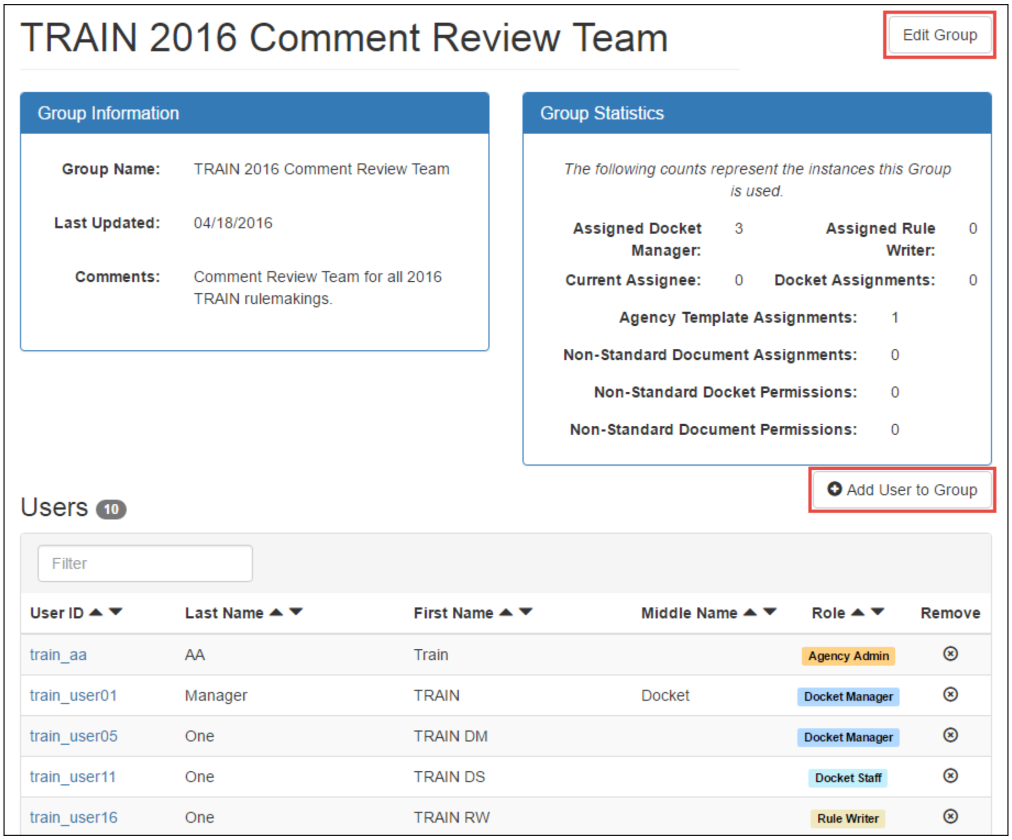


Figure 19: Managing a Group Screen

Managing a Group

1. To manage a group, click on the **Group Name** from the **Groups** screen.
2. From the **Group Details** screen, users have the ability to edit the title and comments for a group by utilizing the **Edit Group** button. A breakdown of the **Group Statistics** is also available.
3. To add users to a group click the **Add User to Group** button. On the next screen Admins can select a user from the full agency list or search for a user by last name. Select the correct User ID and the system will prompt verification of the choice.
4. To remove a user from a group click the icon in the **Remove** column under the **Users** List.
5. If a group does not contain any users and is not currently used for any assignments or non-standard permissions, users can click the **Delete** button that appears next to the Edit Group button.

Managing a Group

Note: Details cannot be edited for system default groups.

Note: Users can be added to Groups from the Group Details screen as well as the User Details Screen.

Group Statistic Definitions

- **Assigned Docket Manager:** The number of Dockets where the group is designated as the Assigned Docket Manager.
- **Assigned Rule Writer:** The number of Dockets where the group is designated as the Assigned Rule Writer.
- **Current Assignee:** The number of Documents where the group is the Current Assignee as shown on the Document's Optional Details tab.
- **Docket Assignments:** The number of Dockets where the group is specified as the Assignee for one or more of the Document Statuses.
- **Agency Template Assignments:** The number of Agency Assignments Templates, including the Agency Default Assignment Template, where the group is specified as the Assignee for one or more of the Statuses.
- **Non-Standard Document Assignments:** The number of Documents with Non-Standard Assignments where the group is specified as the Assignee for one or more of the Statuses.
- **Non-Standard Docket Permissions:** The number of Dockets where the group has been granted Non-Standard Permissions.
- **Non-Standard Document Permissions:** The number of Documents where the group has been granted Non-Standard Permissions at the Document-specific level.

Notes

Reports

There are two pre-defined **Reports** that Admins can run from the Admin Module:

- **Users:** List of active and locked out users in the agency with contact information.
- **Lockouts:** List of locked out users in the agency with contact information.

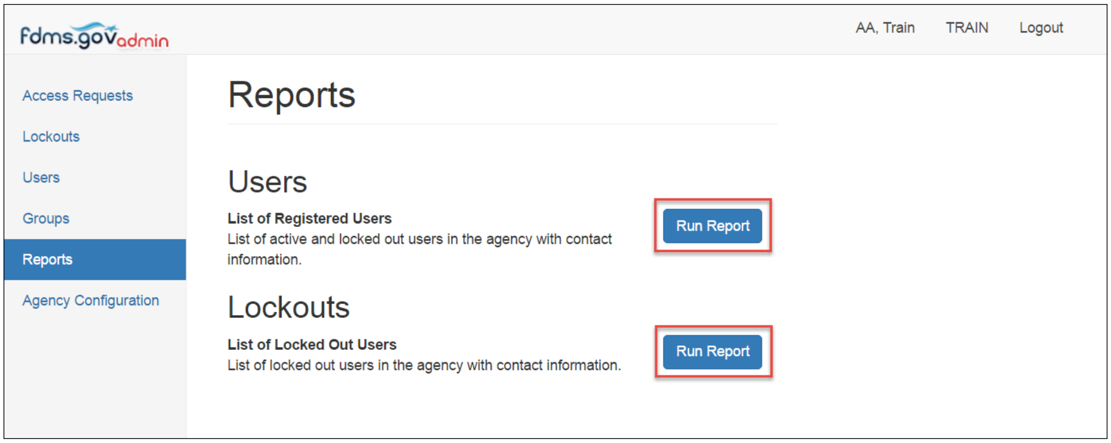


Figure 20: Reports Screen

Reports

1. To run a report, click the **Run Report** button next to the desired option.
2. Click **Ok** in the resulting confirmation pop-up window to confirm the action.

Note: The Report is downloaded instantly as a CSV file.

	A	B	C	D	E	F	G	H	I	J	K
1	Agency	User ID	Last Name	First Name	Middle Name	Email	Phone Number	Role	Account Status	Last Login	PW Last Changed
2	TRAIN	manager30	30	Manager		manager@email.com	555-555-5555	Rule Writer	Locked(Unused), PW	2/2/2015	12/11/2015
3	TRAIN	manager_20	H	Helen		train@email.com	555-555-5555	Docket Staff	Locked(Unused), PW	2/3/2015	12/11/2015
4	TRAIN	manager_21	H	Dave		train@email.com	555-555-5555	Viewer	Locked(Unused), PW	2/2/2015	12/11/2015
5	TRAIN	manager_22	B	Jana		train@email.com	555-555-5555	Docket Manager	Locked(Unused), PW	2/2/2015	12/11/2015
6	TRAIN	manager_23	B	Kevin		train@email.com	555-555-5555		Locked(Unused), PW	2/2/2015	12/11/2015
7	TRAIN	manager_24	D	Patrice		train@email.com	555-555-5555		Locked(Unused), PW	2/2/2015	12/11/2015
8	TRAIN	manager_26	26	Manager		manager@email.com	555-555-5555		Locked(Unused), PW	2/2/2015	12/11/2015
9	TRAIN	manager_27	27	Manager		manager@email.com	555-555-5555		Locked(Unused), PW	2/2/2015	12/11/2015
10	TRAIN	manager_28	28	Manager		manager@email.com	555-555-5555		Locked(Unused), PW	2/2/2015	12/11/2015
11	TRAIN	manager_29	29	Manager		manager@email.com	555-555-5555		Locked(Unused), PW	2/2/2015	12/11/2015
12	TRAIN	manager_30	30	Manager		manager@email.com	555-555-5555		Locked(Unused), PW	2/2/2015	12/11/2015
13	TRAIN	manager_31	31	Manager		manager@email.com	555-555-5555		Locked(Unused), PW	2/2/2015	12/11/2015
14	TRAIN	manager_32	32	Manager		manager@email.com	555-555-5555		Locked(Unused), PW	2/2/2015	12/11/2015

Figure 21: Users Report Spreadsheet

Notes

Agency Configuration

The Agency Configuration menu option gives Admins the ability to customize values within their Agency. Admins can configure metadata fields, which are used to describe Dockets and Documents, determine which Document Subtypes to enable for different Document types, and configure a custom default Title for Public Submission Documents.

Fields Tab

Metadata field elements pertaining to **Rulemaking** and **Nonrulemaking Dockets, FR Documents, Other Documents, Public Submissions,** and **Supporting and Related Materials** are configurable by Admins via the **Fields** tab.

The Fields tab presents all metadata fields (Display Labels) available to an agency. Metadata field labels are configurable in four primary ways:

- **Required** – a field required to be completed
- **Agency Viewable** – a field viewable to the users on FDMS.gov
- **Regulations.gov Viewable** – a field viewable to the public on Regulations.gov
- **Comment Submission Form Viewable** – submitter information field viewable to the public on Regulations.gov once the Public Submission is posted by the agency

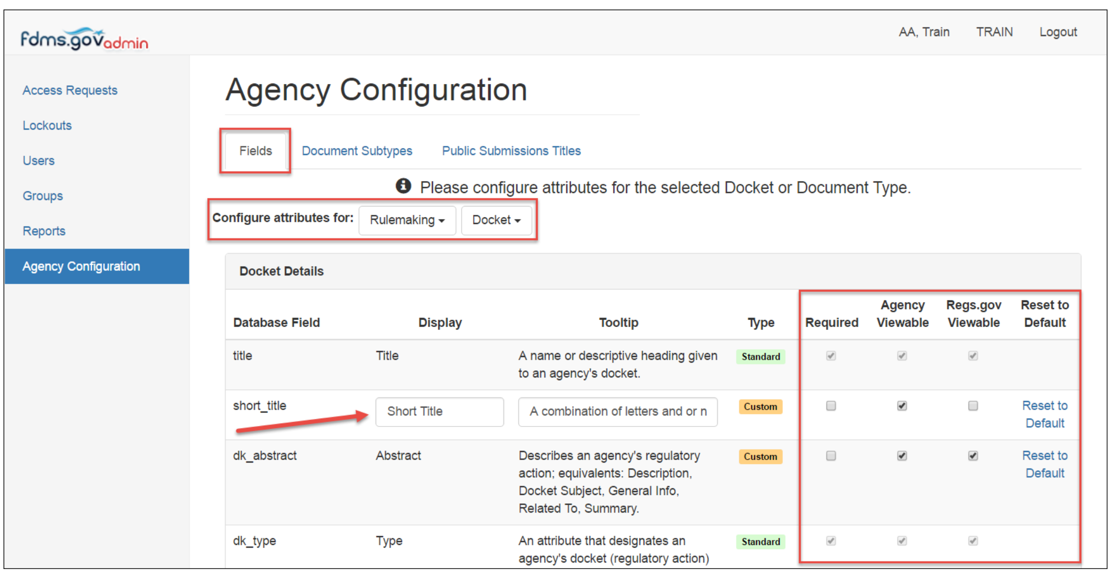


Figure 22: Configuring Metadata Fields in the Fields Tab

Notes

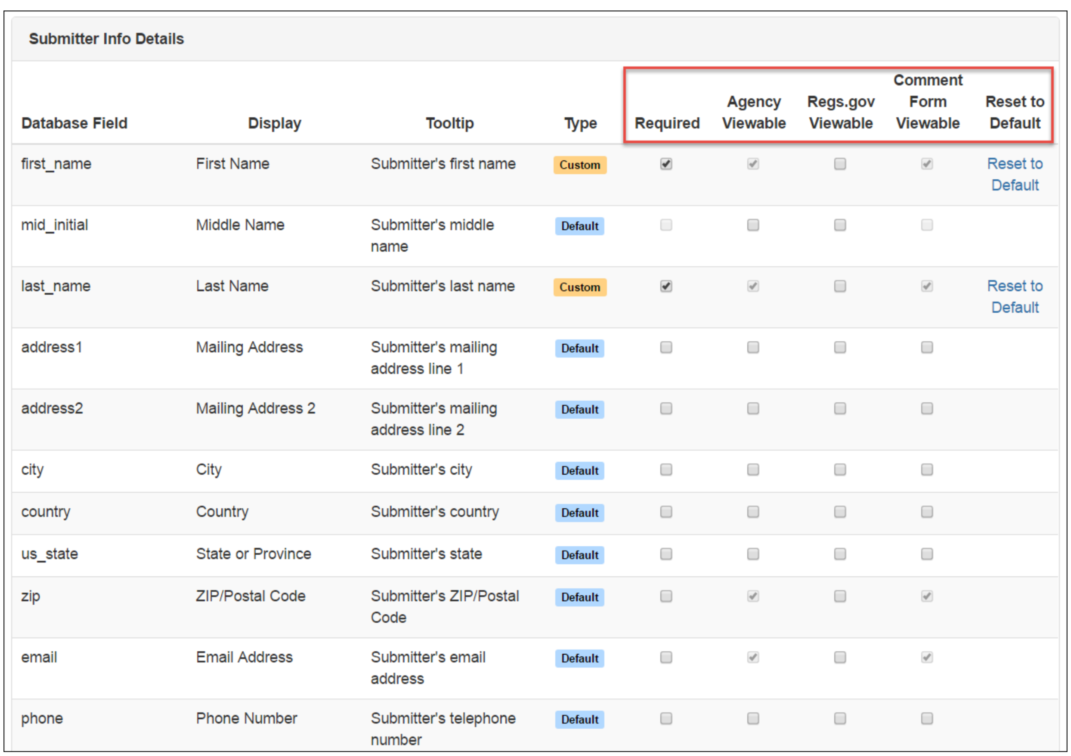
Selecting Screen Attributes

1. From the Fields tab, select **Rulemaking** or **Nonrulemaking** from the first dropdown menu.
2. From the second dropdown menu select **Docket, FR Documents, Other Documents, Public Submissions,** or **Supporting & Related Materials**.
3. To edit the display label or tooltip, click the desired field under the **Display** or **Tooltip** column. Enter the new Display label or tooltip text in the box.

   Note: Some fields are standardized in the system and therefore their Display Label, Tooltip, and Agency Settings cannot be changed.

   Note: The tooltip is displayed when a user hovers over a display label in FDMS. They help to describe the purpose of a metadata field.

4. Check the desired box(es) to configure the agency setting for each field to be **Required, Agency Viewable, Viewable on Regulations.gov**, or **Comment Submission Form Viewable** (for Submitter Info on Public Submissions or Documents where Submitter info has been enabled).
5. Click the **Save** button at the bottom of the page to save changes.
6. Click the **Reset to Default** option to return the configurations of a metadata field to its default values.



Submitter Info Details

Database Field	Display	Tooltip	Type	Required	Agency Viewable	Regs.gov Viewable	Comment Form Viewable	Reset to Default
first_name	First Name	Submitter's first name	Custom	☑	☑	☐	☑	Reset to Default
mid_initial	Middle Name	Submitter's middle name	Default	☐	☐	☐	☐	
last_name	Last Name	Submitter's last name	Custom	☑	☑	☐	☑	Reset to Default
address1	Mailing Address	Submitter's mailing address line 1	Default	☐	☐	☐	☐	
address2	Mailing Address 2	Submitter's mailing address line 2	Default	☐	☐	☐	☐	
city	City	Submitter's city	Default	☐	☐	☐	☐	
country	Country	Submitter's country	Default	☐	☐	☐	☐	
us_state	State or Province	Submitter's state	Default	☐	☐	☐	☐	
zip	ZIP/Postal Code	Submitter's ZIP/Postal Code	Default	☐	☑	☐	☑	
email	Email Address	Submitter's email address	Default	☐	☑	☐	☑	
phone	Phone Number	Submitter's telephone number	Default	☐	☐	☐	☐	

Figure 23: Submitter Info Details Configuration Screen

Notes

Allowing Submitter Info

Agencies have the option to include Submitter Info for Supporting and Related Materials and Other Documents in FDMS. Submitter Info is automatically enabled for Public Submission documents.

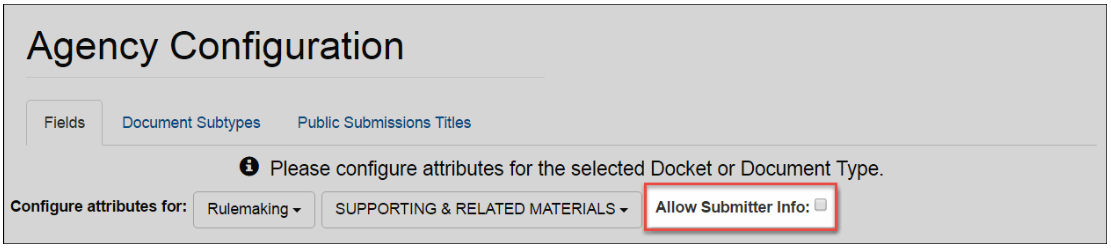


Figure 24: Enabling Submitter Info for Supporting & Related Materials

Allowing Submitter Info

1. From the Fields tab, select **Rulemaking** or **Nonrulemaking** from the dropdown menu.
2. From the second dropdown menu select **Other Documents** or **Supporting & Related Materials**.
3. Check the box next to **Allow Submitter Info**.
4. Click the **Save** button at the bottom of the page to save changes.

Notes

Document Subtypes

Document Subtypes provide an additional level of identification for all Rulemaking and Nonrulemaking Document types. The **Document Subtypes** tab includes a master list of all available Subtypes that can be enabled for use within FDMS.

FDMS Best Practices have enforced the standardization of Subtypes to establish common naming conventions for Documents to increase and maintain consistency of use by eliminating duplications and redundancies. In order for the chosen Subtypes to appear on the Document Details screen in FDMS, the Subtypes field must first be enabled for the desired Document types under the Fields tab in the Admin Module.

Note: To add a Subtype that is not included in the current list of options, the Admin must contact the FDMS Help Desk to initiate the approval process.

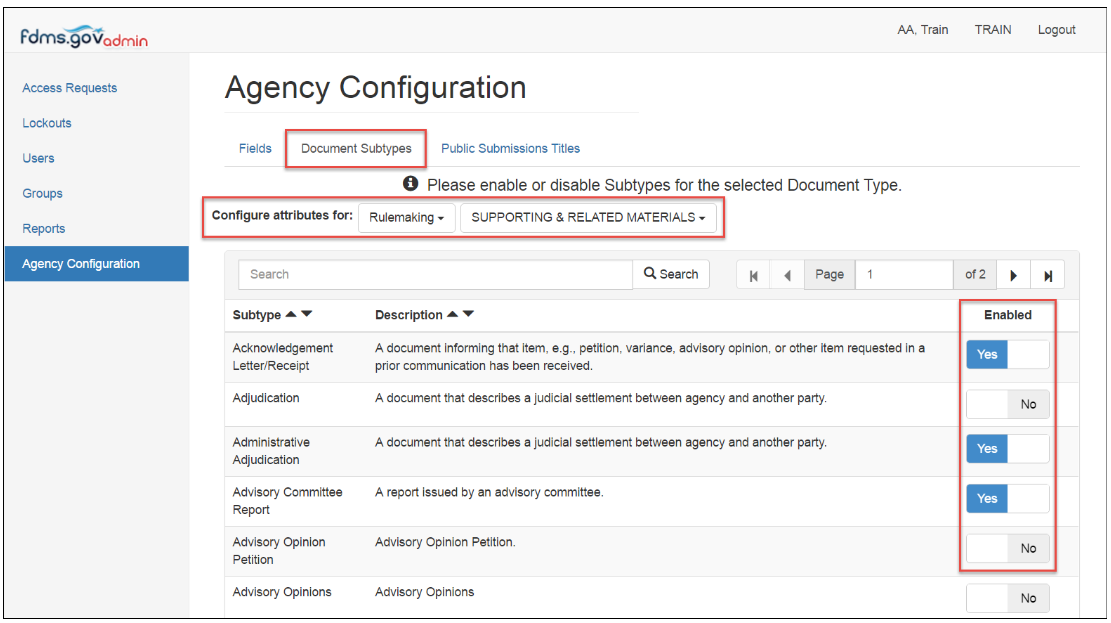


Figure 25: Document Subtypes Selection Screen

Enabling Document Subtypes

1. From the **Document Subtypes** screen, select **Rulemaking** or **Nonrulemaking** from the first dropdown menu.
2. Select the **Document Type** from the second dropdown menu.
3. To enable or disable a Subtype, click on the toggle under the **Enable** column in the corresponding row to reflect **Yes** or **No** accordingly.

Note: The action is automatically saved and confirmed by a green banner message at the top of the screen.

Notes

Public Submissions Titles

Agencies have the ability to configure the Title for both Rulemaking and Nonrulemaking Public Submission Documents received from Regulations.gov. Based on the specific configurations, the Title will be auto-populated upon submission.

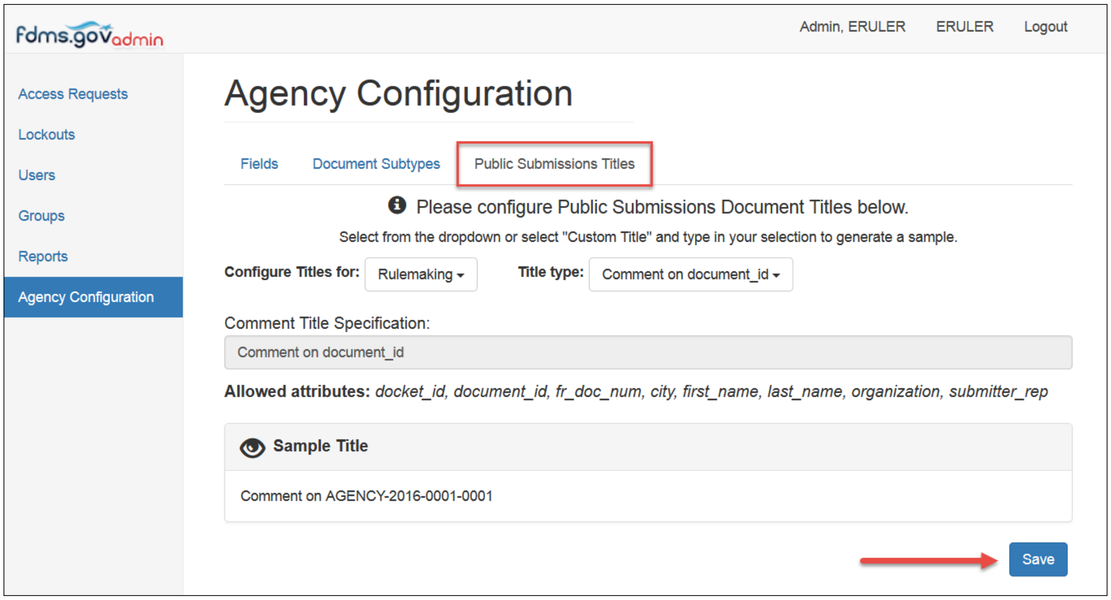


Figure 26: Public Submission Title Configuration Screen

Configuring Public Submission Titles

1. From the Public Submission Titles tab, select **Rulemaking** or **Nonrulemaking** from the first dropdown menu.
2. From the second dropdown menu select from standardized options or create a custom title.

   Note: Standardized options are available based on which Submitter Info fields are required for the agency.
3. If creating a Custom Title enter the attributes into the **Comment Title Specification** box.

   Note: A list of Allowed attributes appears below the box. Attributes must be entered exactly as they appear in this list (i.e. including underscores).

   Note: The Sample Title section displays how the title will look in FDMS as options are selected or changed.
4. Click the **Submit** button at the bottom of the page to save changes.